

## **SUPPORTING STATEMENT**

### **Customer Satisfaction Survey (Attachment D), Workforce Investment Act Standardized Record Data (WIASRD) (Attachment E), Quarterly Summary Report (Attachment F), and Annual Report (Attachment G)**

#### **A. Justification**

##### **1. Necessity of Data Collection**

The Department has opted for a minimalist approach to reporting. Therefore, requirements are limited to those required by the act, compliance with Equal Opportunity (EO) requirements, or a few items necessary for oversight and management purposes.

Provisions in the Workforce Investment Act of 1998 (WIA) legislation:

- command the Secretary to ensure that all elements of the information required for reports be defined and reported uniformly (WIA section 185(d)(2));
- direct each State and each Local Board and each recipient (other than a subrecipient, subgrantee or contractor of a recipient) to prescribe and maintain comparable management information systems, in accordance with the guidelines that shall be prescribed by the Secretary designed to facilitate the uniform compilation, cross tabulation, and analysis of programmatic, participant and financial data, on statewide, local area, and other appropriate bases, necessary for reporting, monitoring, and evaluating purposes, including data necessary to comply with Section 188 (WIA section 185(c)(2));
- require that recipients of funds under title I of WIA shall maintain such records and submit such reports in such form and containing such information as the Secretary may require regarding the performance of programs and activities carried out under title I of WIA (section 185(a)(2));
- specify that the reports shall include information about programs and activities carried out under title I of WIA pertaining to:

The relevant demographic characteristics (including race, ethnicity, sex, and age) and other related information regarding participants;

The programs and activities in which participants are enrolled, and the length of time that participants are engaged in such programs and activities;

Outcomes of the programs and activities for participants, including the occupations of participants, and placement for participants in nontraditional employment;

Specified costs of the programs and activities; and

Information necessary to prepare reports to comply with section 188 and 29 CFR Part 37 (section 185(d)(1) (a-e)).

- compel the States to submit to the Secretary, on a quarterly basis, a summary of the reports submitted to the Governor under WIA sections 185(e)(1) and 185(e)(2);

Other requirements for the annual report are contained in WIA Section 136(d) which provides that:

1. In general - Each State that receives an allotment under section 127 or 132 shall annually prepare and submit to the Secretary a report on the progress of the State in achieving State performance measures, including information on the levels of performance achieved by the State with respect to the core indicators of performance and the customer satisfaction indicator. The annual report also shall include information regarding the progress of local areas in the State in achieving local performance measures, including information on the levels of performance achieved by the areas with respect to the core indicators of performance and the customer satisfaction indicator. The report also shall include information on the status of State evaluations of workforce investment activities described in subsection (e).

2. Additional Information - In preparing such report, the State shall include, at a minimum, information on participants in workforce investment activities authorized under WIA title I subtitle B relating to:

- ✓ entry by participants who have completed training services provided under section 134(d)(4) into unsubsidized employment related to the training received;
- ✓ wages at entry into employment for participants in workforce investment activities who entered unsubsidized employment, including the rate of wage replacement for such participants who are dislocated workers;
- ✓ cost of workforce investment activities relative to the effect of the activities on the performance of participants;
- ✓ retention and earnings received in unsubsidized employment 12 months after entry into the employment;
- ✓ performance with respect to the indicators of performance specified in WIA section 136(b)(2)(A) (core indicators of performance) of participants in workforce investment activities who received the training services compared with the performance of participants in workforce investment activities who received only services other than the training services (excluding participants who received only self-service and informational activities); and
- ✓ performance with respect to the indicators of performance specified in WIA section 136(b)(2)(A) (core indicators of performance) of recipients of public assistance, out-of-school youth, veterans, individuals with disabilities, displaced homemakers, and older individuals.

The Information Dissemination section in WIA section 136(d)(3) directs that The Secretary:

- ✓ shall make the information contained in such reports available to the general public through publication and other appropriate methods;
- ✓ shall disseminate State-by-State comparisons of information; and
- ✓ shall provide the appropriate congressional committees with copies of such reports.

Finally, in section 189(d) the Secretary is directed to prepare and submit to Congress an annual report regarding the programs and activities carried out under title I of WIA. The report must include-

- ✓ a summary of the achievements, failures and problems of the programs and activities in meeting the objectives WIA title I;
- ✓ a summary of major findings from research, evaluations, pilot projects, and experiments conducted under WIA title I in the fiscal year prior to the submission of the report;
- ✓ recommendations for modifications in the programs and activities based on analysis of such findings; and
- ✓ such other recommendations for legislative or administrative action as the Secretary determines to be appropriate.

## **2. Uses of Information**

At the local and State levels, the information collected in this reporting system will be used in the preparation and maintenance of consumer reports.

Attachment A contains a list of the individual record items, the purpose for each item and WIA group (i.e., adults, dislocated workers and youth) applicability of each item. Information is used by the local, state and national levels:

- a. To share program information with stakeholders (participants, businesses, taxpayers), Congress and others;
- b. To continuously improve the quality, effectiveness and efficiency of the program;
- c. To administer incentives or sanctions for outcomes that exceed or fall short of negotiated levels of performance on the core measures; and
- d. To provide management information for use in program administration and oversight.

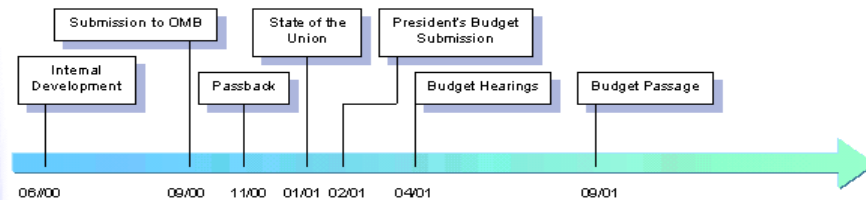
Some upcoming events for which the WIASRD, Quarterly Report and Annual Report will

be used at the national level follow.

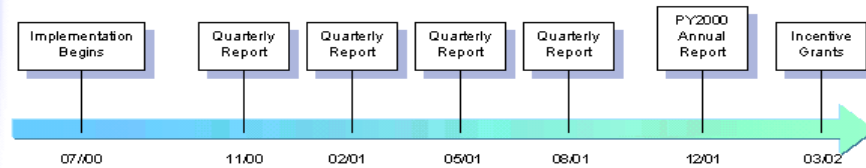
### 3. Collection Technology

## Timelines and Important Considerations

### Budget/GPRA Cycle



### Workforce Investment Act



### Reauthorization of WIA

- 2/2000 Reauthorization Begins
- 1/2003 Reauthorization Budget Presented
- 1/2003 Reauthorization of WIA

### OMB Approval

- 60 days + instructions

Although the Department provides uniform data elements and data definitions, it is left to the States and local areas to decide the best methodology for collecting data given their unique circumstances and resource availability. The one exception to this policy is that States must use the prescribed telephone survey process for collecting customer satisfaction information from a specified minimum number of program participants and employers. However, States may add additional items to the list of required questions. States report all information electronically.

The use of wage records as the primary source of data on wages and employment will ultimately result in decreased burden hours, although the initial set up may impose a small burden up front. The previous employment and training program, The Job Training Partnership Act (JTPA), required the use of follow-up surveys with terminees. Attachment C contains a detailed explanation for the use of wage records and supplemental data.

#### **4. Avoidance of Duplication**

A hallmark of WIA is increased accountability in exchange for optimal flexibility. Two ways in which the Workforce Investment Act has strengthened accountability over the JTPA is by requiring more comprehensive performance standards and by creating quarterly and annual report. Additional data items are needed on the individual record, The Workforce Investment Act Title I-B Standardized Record Data (WIASRD), to support the measures and much of this data will be used in the preparation of the quarterly and annual performance reports.

The Department has minimized the reporting burden by establishing the number of data elements required commensurate with the level of resources expended and services received. States need not report on individuals using self-services or informational core services only. A very limited number of items are required for those using other core services. More items are expected for those receiving intensive and/or training services.

#### **5. Minimizing Burden on Small Businesses or Other Small Entities**

The involvement of small businesses or other small entities for reporting purposes is extremely limited. In fact, the only time they may required to be contacted is in the collection of customer satisfaction data. The questionnaire contains only three questions (though States may choose to add other items for their own purposes). The survey methodology uses a nationally recognized system employed in both the public and private sectors. States serving many customers may take advantage of a sampling method rather than contacting each business.

#### **6. Consequences of Not Reporting or Reporting With Less Frequency**

The Workforce Investment Act is very specific about the reporting requirements and reporting frequency. Thousands of individuals and business that depend upon benefits from the services provided by WIA would no longer have access to its impressive array of programming options since funding for the WIA program would be compromised if the Department did not comply.

The Final Rule at 20 CFR 667.300(d) (65F.R. 49429 August 11, 2000) which governs the due date states:

Financial reports and participant data reports are due no later than 45 days after the end of each quarter unless otherwise specified in reporting instructions. A final financial report is required 90 days after the expiration of a funding period or the termination of grant support.

Section 667.300(e)(1) contains the sanctions for failure to file timely annual reports:

A State failing to submit any of these annual performance progress reports within 45 days of the due date may have its grant (for that program or all title I, subpart B programs) for the succeeding year reduced by as much as 5 percent, as provided by WIA section 136(g)(1)(B).

Section 667.300(e)(2) continues with:

States submitting annual performance progress reports that cannot be validated or verified as accurately counting and reporting activities in accordance with the reporting instructions, may be treated as failing to submit annual reports, and be subject to sanction. Sanctions related to State performance or failure to submit these reports timely cannot result in a total grant reduction of more than five percent. Any sanction would be in addition to having to repay the amount of any incentive funds granted based on the invalid report.

## **7. Special Circumstances**

None of the special reporting circumstances apply to the WIA reporting package.

## **8. Consultation Efforts**

**a.** The Department of Labor engaged in an extensive informal consultation process in the development of the WIA Performance Reporting system. As part of the informal consultation process, we provided an early draft of the annual report requirements to the six early implementing States for comment and many of their suggestions have been adopted. We also shared early drafts with our Department of Education partners in our efforts toward development of common federal reporting systems. We incorporated definitions used by the United States Department of Education when appropriate - especially to educationally related data items. This will simplify and streamline definitions as local areas and one-stops may report information to many federal, state and local funding sources. We provided drafts of the individual record and a table listing the requirements for the annual report to:

-Regional, State and local staff attending the Journey to Excellence Conference in Orlando, Florida. The documents were then posted and widely distributed on the US Workforce Web Site ([www.usworkforce.org](http://www.usworkforce.org)).

- During a meeting with the WIA stakeholders held to share these documents and the documents regarding performance measures and the negotiation process, organizations were invited to provide comments and suggestions.

**b.** We published a Federal Register Notice (FRN) on April 3, 2000 which solicited comments in a formalized process. In response, 29 sets of comments were received by, or soon after, the comment period from a diverse set of WIA stakeholders including:

|                                   |                     |
|-----------------------------------|---------------------|
| State Staff Members               | 18 sets of comments |
| Education Partners                | 4 sets of comments  |
| Local Workforce Investment Boards | 2 sets of comments  |
| National Associations             | 2 sets of comments  |
| Private Sector                    | 1 set of comments   |
| Unions                            | 1 set of comments   |
| Regional Staff                    | 1 set of comments   |

We thoroughly reviewed all of the comments received. We also considered questions

gathered from other correspondence and during recent national, regional and state technical assistance efforts.

Some comments contained suggestions for improving an individual data item on the WIASRD. We incorporated into the report whenever feasible. For example, items regarding participation in partner programs on the original individual record required twenty-six separate yes or no responses. We made these responses optional and required only when local areas elect to use this opportunity to take credit for outcomes received from activities obtained in cooperation with partner programs.

Overall, the comments reflected concerns in five main themes. Within each theme, we identified general issues and prepared an initial DOL response. These issues and responses are summarized as follows:

| <b>Summary of Federal Register Notice Comments</b> |  |
|--|--|
| <b>Main Themes</b>                                 | <b>General Issues/DOL Preliminary Response</b><br>(Some of DOL's positions changed after meetings with the partners. These items are noted with an '*' and DOL's current position is included in parenthesis.)   |
| <b>1.<br/>Reporting<br/>Burden</b>                 | <p><b>Issue:</b> Not all burden hours accounted for<br/> <b>Response:</b> Revised accountings of burden hours</p> <p><b>Issue:</b> Overly burdensome reporting requirements<br/> <b>Response:</b> Simplified the reporting requirements where possible</p> <p><b>Issue:</b> Reporting on all participants rather than exiters<br/> <b>Response:</b> Reviewed participant/exiter options. Met with Stakeholders and explained the need for participant data*. (Following additional meetings with the partners, DOL agreed that participant data will be required for exiters rather than all participants on an annual basis.)</p> <p><b>Issue:</b> Large quantity of reporting items<br/> <b>Response:</b> Met with the Stakeholders and explained each item. We reduced the number of reporting items or responses where possible.</p> |
| <b>2.<br/>Reporting<br/>Due Date</b>               | <p><b>Issue:</b> Due date vs. data availability for the annual report<br/> <b>Response:</b> Changed the due date from September 30 to November 15.* (Following additional meetings with the partners, the final due date for the annual report was set for December 1.)</p> <p><b>Issue:</b> Lack of start-up time<br/> <b>Response:</b> Made submission of the first quarterly report optional. The first quarterly report will now be submitted in February, 2001.</p>   |

|   |  |
|---|--|
| <p><b>3.<br/>Concurrent<br/>Participation</b></p> | <p><b>Issue:</b> Reporting of partner program outcomes is a duplication of effort<br/> <b>Response:</b> Met with Stakeholders and explained the purpose of the item. Provided enhanced explanation in the reporting guidance</p> <p><b>Issue:</b> Reporting of partner program participation is burdensome<br/> <b>Response:</b> Reporting on partner program participation is optional. States are encouraged to take advantage of this opportunity to track and take credit for outcomes obtained from coordinated services. It is anticipated that States opting to do so will attain higher levels of performance.</p>   |
| <p><b>4.<br/>Customer<br/>Satisfaction</b></p>    | <p><b>Issue:</b> Flawed design (i.e., Local area results do not roll-up to State level outcomes.)<br/> <b>Response:</b> We issued additional guidance for conducting customer satisfaction surveys that provides a methodology for rolling up local area results to State-level outcomes.</p> <p><b>Issue:</b> Overly burdensome<br/> <b>Response:</b> A commenter assumed the requirement for 500 participant and 500 employer responses was a requirement at both the State and local levels. The requirement is state-wide only, we have provided additional guidance in TEGL 6-00 and technical assistance to States stressing this information.</p>   |
| <p><b>5.<br/>Quarterly<br/>Report</b></p>         | <p><b>Issue:</b> The quarterly report is confusing<br/> <b>Response:</b> We agreed and re-engineered the report using our Stakeholders' suggestions</p> <p><b>Issue:</b> Some individuals felt the quarterly report should be cumulative rather than a "snapshot" of quarterly activity.<br/> <b>Response:</b> We reexamined the options and agreed there is a case to be made for each of these choices. We concluded the "snapshot" approach to be the most advantageous for the following reasons: 1) Although it is quite easy to add up the results of singular quarterly reports, it is much more difficult to separate out the results of one quarter from a cumulative report; 2) WIA Title I B indicators of performance are measured over different time periods, including during participation (e.g., youth skill attainment), in the quarter after exit (e.g., entered employment), and in the third quarter after exit (e.g., six month earnings and employment retention). It seems apparent that users of these reports to follow which periods of time were being included in the report.* Following additional meetings with the partners, DOL agreed to revise the quarterly report to a cumulative format.</p> |

c. DOL national and regional staff conducted technical assistance efforts for States and Local Areas throughout the spring and early summer explaining the reporting system, discussing the comments received from the Federal Register publication and answering questions about reporting (e.g., presentations in Kansas City at a regional conference, in New Mexico during JETT\*CON and ongoing Question and Answer exchanges with State and local staff, etc.) Based on the valuable responses to the Federal Register Notice and comments received during presentations, DOL prepared a paperwork package for submission to OMB under the Paperwork Reduction Act of 1995 (44 U.S.C., chapter 35). This package was not submitted because of our interest in developing a true partnership with the stakeholders of the WIA system.



d. Various meetings were convened with partners including The National Association of Counties, the National Governors' Association, the National Council of Mayors, and the National Association of State Workforce Agencies throughout the summer in Washington D.C. and in Chicago to discuss the reporting system answer questions, clarify policies, share concerns, and discuss the process for further refining and expanding the reporting system over time.

e. On September 26-27, 2000, DOL convened a meeting of 35 of Federal, State and Local representatives to establish a partnership among the three levels of the system and to reach agreement on the major issues and concerns generated by the April 3, 2000, Federal Register Notice. The work group reached agreement on a number of issues and made recommendations for changes. They also created two sub-groups to address specific reporting concerns regarding the individual record and the alignment of the periods of performance with reporting dates. The creation of these sub-groups and their interest in jointly building a WIA reporting system was viewed as a very positive step by stakeholders. The agreements reached by the work group addresses the issues and main themes of the original Federal Register Notice comments. The main agreements include the following:

- ▶ States will submit a quarterly report with some modifications from the original proposal to streamline it and to make it less burdensome on States. The data would be cumulative.
- ▶ The first quarterly report will not be due until February 14, 2001.
  - ▶ State annual reports will be due December first annually beginning in 2001. This position is the result of the work by the sub-group on Performance Alignment.
- ▶ States will have the option on whether to submit all individual records or a "sufficient number" (as defined by DOL for statistical validity) annually.
- ▶ For reporting on participants, the State will submit WIASRD records only on exiters from WIA Title I-B programs.
- ▶ The individual record to be submitted by States will reflect the position of a sub-group that reviewed the WIASRD for required information and the point of collection for each item. Items not required will be deleted from this data collection and reporting system.

The attached individual record, quarterly report, and annual report reflect the agreements reached with our partners. We have incorporated of all these recommendations into the WIA reporting system. We also plan to continue work with these partners to develop future enhancements to the system.

## **9. Payment to Respondents**

There is no payment to respondents other than the formula funds and incentive funds provided for in the Workforce Investment Act.

## 10. Assurance of Confidentiality

The Department is responsible for protecting the confidentiality of the data and will maintain the data in accordance with all applicable Federal laws, with particular emphasis upon compliance with the provisions of the Privacy Act and the Freedom of Information Act.

Additionally, the sharing or release of information collected from program participants and employers must be protected in each State as governed by State law. States prohibit the disclosure of participant and employer identity, by name or information, unless specifically requested by the individual.

## 11. Justification for Sensitive Questions

There are no sensitive questions included in the proposed data collection. Individual records, which contain wage record information, may be submitted using a unique personal identifier or pseudo-social security number.

## 12. Burden Hours and Respondent Cost

Average Time Per Response: 2,384 hours. The actual response time will vary by number of Local Workforce Investment Boards in the State and by the size of the population served in the State.

| Cite/<br>Reference | Total<br>Respondents | Frequency | Total<br>Responses | Average<br>Time Per<br>Response | Burden<br>(Total<br>Nat. Hrs.) |
|--------------------|----------------------|-----------|--------------------|---------------------------------|--------------------------------|
|--------------------|----------------------|-----------|--------------------|---------------------------------|--------------------------------|

|                              |  |                        |  |   |  |
|------------------------------|--|------------------------|--|---|--|
| Individual Records           | 53 entities are required to submit individual records<br>6 entities may submit individual records <sup>1</sup> | Annually               | 53 (One set of records per respondent. Set will vary in size depending on the number of individuals served in the jurisdiction.) | 13,272 hours  | 703,416 hours                                      |
| Annual Report                | See above  | Annually               | 53   | 45 hours  | 2,385 hours  |
| Customer Satisfaction Survey | 53 States*<br>Agency Administration 53<br>Overhead 53  | Quarterly/<br>Annually | (Results to be included in the Annual and Quarterly Reports)   | 5 min. (1/12 hr.)**<br><br>688 hours<br><br>154 hours | 4,417 hours<br><br>36,464 hours<br><br>8,162 hours |
| Quarterly Summary Report     | 53   | Quarterly              | 212 (53X4)   | 16 hours  | 3,392 hrs.   |
| Totals                       | 53   | Quarterly/<br>Annually | 318  | 2,384 hours   | 758,236 hrs.                                       |

\* Each State will submit one index score for the employer responses (500 completed surveys per year) and participant responses (500 completed surveys per year).

\*\*Assumes only 3 ASCI questions are administered.

## Explanation of Burden Hours

### Individual Record - 703,416 hrs.

Baseline: 8,768 hrs./reporting unit in last Paperwork Reduction Package regarding the JTPA reporting system (SPIR = 56 State reporting units).

Factor: 51% higher due to 1) increase in size of record, and 2) increase in number of program participants. Increases were not cumulative; some allowance made for economies of scale and learning curve.

### Annual Report - 2,385 hrs.

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<sup>1</sup> All 50 States, the District of Columbia, Puerto Rico and The U.S. Virgin Islands are required to submit individual records, quarterly reports and annual reports using the instructions and formats provided.

The Secretary may reserve up to 1/4 of 1 percent of the WIA Title I-B funds for Guam, American Samoa, the Commonwealth of the Northern Mariana Islands, and the Freely Associated States (The Marshall Islands, Palau and the Federated States of Micronesia). Notwithstanding any other provision of law, the Freely Associated States shall not receive any assistance for any program year that begins after September 30, 2001 (WIA section 127(b)(1)(B)(ii)(IV)). These areas have limited access to technology, wage records and unique economies that result in barriers to implementing some of the indicators of performance and to collecting and reporting data. Given these unique circumstances, regional staff will work with these entities to develop suitable reporting requirements. These areas are not eligible to receive incentive grants for exceeding negotiated levels of performance.

Estimate based on 45 hrs./reporting unit to produce one report per year (includes program run, checking, report formatting for transmission).

**Quarterly Report - 3,392 hrs.**

Estimate based on 64 hrs./reporting unit to produce four reports per year (includes program run, checking, report formatting for transmission) – 16 hrs./report.

**Customer Satisfaction Survey**

Respondents - 4,417 hrs

Estimate based on 1,000 responses per reporting unit (500 WIA participants and 500 employers) and 5 min. (1/12 hr.) per survey. This assumes the three ACSI questions are asked. States may incur increased costs in the event additional questions are asked on the surveys.

Survey Administration - 36,464 hrs.

Estimate based on 41 minutes to obtain a completed survey (telephone contacts, call-backs, data entry). This estimate assumes 50% of the respondents for each State will take an average of 30 minutes each, 25% will require an average of 45 minutes, and 25% will require an average of 60 minutes to obtain each completed survey.

Survey Preparation and Overhead - 8,162 hrs.

Estimate based on:

Survey development (preparation of questionnaire and telephone script for interviewer) - 40 hrs. / reporting unit

Sample selection - 24 hrs./reporting unit

Survey set-up (setting up survey for telephone administration and creation of a database) - 40 hrs./reporting unit

Compilation of results (includes generation of descriptive statistics and calculation of index for participants and employers) - 50 hrs./reporting unit

**13. Data Collection/Recordkeeping Burden Costs**

- a. Capital/Start-up Costs: \$919,213 (1/3 staff yr. X \$52,083 X 53)

Estimate based on 1/3 staff year to develop WIASRD data record; this estimate was based on experience of Utah in converting from SPIR to WIASRD and programming time for the Data Validation and Denied Claims Accuracy pilots. A staff year cost factor of \$52,083 was applied; this is the salary/benefits rate used in the FY 2001 budget.

- b. Operation and Maintenance Costs: \$18,986,229

The estimate is based on the \$52,083 staff year cost factor applied to the burden hours listed above. The burden hours for participant and employer responses to the customer satisfaction surveys equates to \$66,780, while the burden cost for developing the survey and start-up totals \$204,376.

States opting to roll up local customer satisfaction survey results do not have to administer separate statewide surveys. This would reduce the money spent at the State level to capture statewide results. These savings were not accounted for as it is not known how many States will select this option.

**14. Annualized Cost to the Federal Government**

The annual costs of maintaining the WIASRD data base, production and distribution of

the quarterly and annual reports, development of technical assistance guides are borne by the Department and are estimated to amount to \$285,000. Since the American Customer Satisfaction Index (ACSI™) is proprietary property of the University of Michigan and is owned by Claes Fornell International (CFI) Group, we have established a license agreement with the University of Michigan that will allow States the use of the ACSI™ for a statewide sample of participants and employers. This will cost approximately \$160,000 per year. States that want to use the ACSI™ for measuring customer satisfaction for each local area or for additional assistance in measuring, analyzing and understanding ACSI™ data will have to establish an independent contract with the University of Michigan. Additional federal staff and associated costs are approximately \$125,000.

### 15. Explanation for Proposed Changes in Burden

The total burden hours increased as a result of changes made to the required response rates for the two customer satisfaction surveys. The increased hours and cost reflects the level of work involved in moving from a required 50% response rate to a 70% required response rate for the two surveys.

### 16. Submission and Publishing Schedules

| Product                             | Submission Date   | Publishing Date   |
|-------------------------------------|---|---|
| <b>Individual Record</b>            | December 1, annually, beginning 2001.                                       | It is envisioned that information (minus individual identifiers) will be available through web-based technology in the following program year.        |
| <b>Quarterly Summary Report</b>     | Within 45 days following the end of the quarter                             | Although the department will use this information to prepare GPRA, budget and ad hoc reports, it does not plan to publish the information separately. |
| <b>Annual Report</b>                | December 1, annually, beginning 2001.                                       | DOL plans to publish the information on a web site in February.   |
| <b>Customer Satisfaction Survey</b> | Results of the survey will be submitted in the quarterly and annual reports | N/A (Aggregate information is reported in the quarterly and annual reports)   |

### 17. Expiration Date Display

The expiration date will be displayed. We are not seeking approval to have this concealed. Included in the Training and Employment Guidance Letter that will formally transmit the reporting package to the system, once OMB approval has been received, will be the following statement: "It is estimated that, on average, the time needed to complete and submit the individual records, quarterly and annual reports will be \_\_\_\_\_ hours. You may submit any comments regarding these reporting documents to: The Office of Management and Budget, Docket Library, Room 10102, 725 17<sup>th</sup> Street N.W., Washington, D.C., 20503. Please include OMB control number \_\_\_\_\_ with your correspondence."

**18. Exceptions to the Certification Statement**

There are no exceptions to the certification statement identified in Item 19 of OMB 83-I.

**B. Employing Statistical Methods in Data Collection**

1. States have the option of submitting individual records for all exiters each year or a sample of these records. The sampling guidelines are included in Attachment B of this document.
2. The use of wage records as the primary source of wage and employment information is expected to improve data validity and eliminate most of the need for follow-up surveys. Follow-up surveys will be used as a supplemental source of data only when individuals are not covered by U.I. wage records. Attachment C contains the general guidance that was included in Training and Employment Guidance Letter 7-99 regarding the use of wage records and supplemental data sources.
2. The sampling methods for customer satisfaction surveys are described below.

## **Collection of Information Employment Statistical Methods For WIA Customer Satisfaction Survey**

(Please refer to Attachment D for added information regarding Customer Satisfaction.)

### **1. Sampling Methodology**

There are two different surveys that must be conducted to determine customer satisfaction. This requires two universes for surveying: Participants, comprised primarily of job seekers using services funded under Title I-B of the Workforce Investment Act of 1998 (WIA); and Employers, comprised of those employers being provided services from One-Stop staff.

A. The potential respondent universe for the “participant” survey will include all of those individuals who are registered under Title I-B of the Workforce Investment Act and exit in any of the four quarters of the program year. Only individuals who has received services under Title I-B and has exited can be potential respondents. The survey will be conducted in all 50 states and 2 territories covered under the Act.

B. The potential respondent universe for the “employer” survey includes all of those individuals who receive a substantial service during any of the four quarters of the program year. The survey will be conducted in all 50 states and 2 territories covered under the Act.

### **2. Procedures for the Collection of Information**

The procedure will require a sample to be drawn periodically for each of the two populations. The sample will be drawn by simple, random sample procedures each month using a random numbers table or its automated equivalent. At least 500 completed interviews are required for both the participant and employer surveys. States are required to determine the appropriate sample sizes using the required response rates and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. The required minimum response rate for the first year of data collection is 50%. The required response rate for the following years will be 70%. The 500 completed surveys will provide accuracy such that 95 percent of the time the population mean would be contained within the confidence interval.

Survey results will be reported to the Department in each of the four quarters. This requires each state to determine sampling ratios for participants and employers to be applied each month. Given that this is a new program, we do not know how many participant exiters or employers served there will be in any state nor what proportion will exit or be served in a given month. What we are fairly certain of is that they are unlikely to be evenly distributed among the months; this will be especially true for participants.

### **3. Response Rates**

The estimated response rate is 50% for the first year and 70% for the following years. The brevity of the survey and call-back efforts are intended to increase response. The amount of time between the completion of services and the time of surveying will be minimized to strengthen the likelihood of contacting individuals, reducing the chance for non-response bias. Recent pilot studies showed that individuals' contact information was less likely to be valid the longer the time between their last service and the date of attempted contact. Based on the recommendations of survey contractors during the pilots, states will be required to collect primary contact information and encouraged to collect secondary contact information for participants and employers to increase the likelihood of high response rates. A third procedure to ensure data quality is that the data will be collected through a single, telephone survey methodology. This will further ensure the data collected will be comparable across the 53 reporting entities.

#### **4. Testing**

The data will be reviewed in the first years to determine if there are special populations for which this methodology is not reliable. The data will be analyzed to determine if any sub-populations are consistently under-represented in the obtained surveys. Appropriate statistical tests will be used to determine if obtained sample distributions are significantly different than the distributions of sub-populations in the population from which the sample was drawn. The population distributions will be available from the existing reporting requirements related to the core indicators and other required measures. Tests will also be undertaken to determine if the indicator can be reliably estimated with fewer than the 500 responses. This will entail a study of the impact of smaller samples on the sampling error and other distribution characteristics of the obtained sample. Since the indicator requires the comparisons of State's obtained performance level on the customer satisfaction indicators to their estimates, as well as to obtained performance levels from other states, any consideration of reducing sample size will have to be weighed against changes of effect size.

#### **5. Contacts**

##### **A. Individual Record Design and Sampling Consultant**

Rich West, Social Policy Research Associates, (510) 763-1499

##### **B. Customer Satisfaction Survey Design Consultants:**

Barry A. Goff, Ph.D., The Charter Oak Group, (860) 659-8743  
 Claes Fornell, Director - National Quality Research Center, CFI, (734) 763-9767  
 Walter Corson, Vice President, Mathematica Policy Research, (609) 275-2398  
 Jill Montaquila, Senior Statistician, WESTAT, (301) 517-4046

##### **C. Data Collectors/Analysts**

States will provide results of the survey in their Annual Reports to the Department of Labor or its designated representative for analytical purposes.





**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element                       |                                      | Purpose                                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation  |               |
|------------------------------------|--------------------------------------|---|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|---|---------------|
|                                    |                                      | Maint. of Standard Record                 | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |   |               |
|                                    |                                      |   |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |   |               |
| SECTION I - INDIVIDUAL INFORMATION |                                      |   |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |   |               |
| 101                                | Individual identifier                | !   |    |               | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §185(d)(1)(E)   |               |
| 102                                | Date of birth                        | !   | !  | !             | !                          | !                         | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §136(d)(2)(F) and §185(d)(1)(A)   |               |
| 103                                | Gender                               | !   | !  |               |                            |                           | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §185(d)(1)(A)   |               |
| 104                                | Individual with a disability         | !   | !  | !             |                            | !                         | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §136(d)(2)(F)and §185(d)(1)(E)<br>Coordination with Voc. Rehab./Wagner-Peyser |               |
| 105                                | Ethnicity Hispanic or Latino         | !   | !  |               |                            |                           | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §185(d)(1)(A)   |               |
| 106                                | Race                                 | !   | !  |               |                            |                           | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §185(d)(1)(A)   |               |
| 107                                |                                      | Asian                                     | !  | !             |                            |                           |                           | !                                  | !                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲   | §185(d)(1)(A) |
| 108                                |                                      | Black of African American                 | !  | !             |                            |                           |                           | !                                  | !                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲   | §185(d)(1)(A) |
| 109                                |                                      | Hawaiian Native or other Pacific Islander | !  | !             |                            |                           |                           | !                                  | !                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲   | §185(d)(1)(A) |
| 110                                |                                      | White                                     | !  | !             |                            |                           |                           | !                                  | !                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲   | §185(d)(1)(A) |
| 111                                | Veteran status                       |   |    | !             |                            |                           | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(d)(2)(F)   |               |
| 112                                | Campaign veteran                     |   |    |               |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | Coordination with Veterans Programs and Wagner-Peyser                         |               |
| 113                                | Disabled veteran                     |   |    |               |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     |   |               |
| 114                                | Recently separated veteran           |   |    |               |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     |   |               |
| 115                                | Employment status at registration    |   |    | !             | !                          |                           | !                         | !                                  | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(d)   |               |
| 116                                | Limited English language proficiency |   |    |               |                            |                           | !                         | !                                  |                         | ▲      |                   | ▲      | ▲     | ▲     | High level of interest by Congress, et. al                                    |               |
| 117                                | Single parent                        |   |    |               |                            |                           | !                         | !                                  |                         | ▲      |                   | ▲      | ▲     | ▲     | High level of interest by education, Congress, et. al                         |               |
| 118                                | Unemployment Compensation programs   |   |    |               |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      | ▲     | ▲     | High level of interest by Congress, et. al. Coordination with UI program      |               |
| 119                                | Low Income                           | !   |    |               |                            | !                         | !                         | !                                  |                         | ▲      |                   |        | ▲     | ▲     | High level of interest by Congress, et. al                                    |               |

**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element |   | Purpose                   |    |               |                            |                           |                           | Required Items by Group            |       |        |                   |        |       | Citation |       |   |
|--------------|---|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------|--------|-------------------|--------|-------|----------|-------|---|
|              |   | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult |        | Dislocated Worker |        | Youth |          |       |   |
|              |   |                           |    |               |                            |                           |                           |                                    | C     | I<br>T | C                 | I<br>T | 14-18 |          | 19-21 |   |
| 120          | Temporary Assistance to Needy Families (TANF)   |                           |    | !             |                            | !                         | !                         | !                                  |       | ▲      |                   |        |       | ▲        | ▲     | §136(d)(2)(F)   |
| 121          | General Assistance (GA) (State/local government), Refugee Cash Assistance (RCA), Supplemental Security Income (SSI-SSA Title XVI) |                           |    | !             |                            | !                         | !                         | !                                  |       | ▲      |                   |        |       | ▲        | ▲     | §136(d)(2)(F) High level of interest from funding sources   |
| 122          | Pell Grant recipient  |                           |    |               |                            |                           |                           | !                                  |       | ▲      |                   |        | ▲     | ▲        | ▲     | General oversight. One criterion of who may receive training is those who are unable to obtain grants assistance from other sources, including Pell Grants (see WIA section 134(d)(4)(B), section 663.310(d) and coordination requirements section 663.320. |
| 123          | Highest school grade completed  | !                         |    | !             | !                          | !                         | !                         | !                                  |       | ▲      |                   |        | ▲     | ▲        | ▲     | §136(d)(2)(F) Used in calculation of Youth Diploma Measure  |
|              | Additional Individual Information Needed for Dislocated Workers and Displaced Homemakers  |                           |    |               |                            |                           |                           |                                    |       |        |                   |        |       |          |       |   |
| 124          | Displaced homemaker   |                           |    | !             |                            | !                         | !                         | !                                  |       |        |                   | ▲      | ▲     |          |       | §136(d)(2)(F)   |
| 125          | Date of actual qualifying dislocation   |                           |    | !             | !                          | !                         | !                         |                                    |       |        |                   | ▲      | ▲     |          |       | §136(f)(2) Used in calculation of Earnings Replacement  |
|              | Additional Individual Information Needed for Youth  |                           |    |               |                            |                           |                           |                                    |       |        |                   |        |       |          |       |   |
| 126          | Homeless Individual and/or runaway youth  |                           |    |               |                            | !                         | !                         | !                                  |       |        |                   |        |       | ▲        | ▲     | Targeted group § 129(c)(5)  |
| 127          | Offender  |                           |    |               |                            | !                         | !                         | !                                  |       |        |                   |        |       | ▲        | ▲     | Targeted group § 129(c)(5)  |

**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element |   | Purpose                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation |   |
|--------------|---|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|----------|---|
|              |   | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |          |   |
|              |   |                           |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |          |   |
| 128          | Pregnant or parenting youth                       |                           |    |               |                            | !                         | !                         | !                                  |                         |        |                   |        |       | ▲     | ▲        | Targeted group § 129(c)(5)  |
| 129          | Youth who needs additional assistance             |                           |    |               |                            | !                         | !                         |                                    |                         |        |                   |        |       | ▲     | ▲        | Targeted group § 101(13)(C)(vi) and general oversight                       |
| 130          | Education status at time of registration          | !                         |    |               |                            | !                         | !                         | !                                  |                         |        |                   |        |       | ▲     | ▲        | Determination of in-school/out-of-school status § 129(c)(4)                 |
| 131          | Basic literacy skills deficiency                  |                           |    |               |                            | !                         | !                         | !                                  |                         |        |                   |        |       | ▲     | ▲        | General oversight. High level of interest by Congress, et. al 101(13)(C)(i) |
|              | SECTION II - ACTIVITY AND SERVICES INFORMATION    |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |          |   |
| 301          | ETA-assigned Local and State board/Statewide code | !                         | !  | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲        | §136(d)(1)  |
| 302          | Date of WIA Title I-B registration                | !                         |    |               | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲        | §136(d)(1) and §185(d)(1)(B)  |
| 303          | Date of WIA exit                                  | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | ▲        | §185(d)(1)(B)   |
|              | WIA Title I B Participation                       |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |          |   |
| 304          | Adult (Local)                                     | !                         |    | !             | !                          | !                         | !                         | !                                  | ▲                       | ▲      |                   |        |       |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 305          | Dislocated Worker (Local)                         | !                         |    | !             | !                          | !                         | !                         | !                                  |                         |        | ▲                 | ▲      |       |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 306          | Youth (Local)                                     | !                         |    | !             | !                          | !                         | !                         | !                                  |                         |        |                   |        |       | ▲     | ▲        | §136(d)(1) and §185(d)(1)(B)  |
| 307          | Youth (Statewide (15%) Activities)                | !                         |    | !             | !                          | !                         | !                         | !                                  |                         |        |                   |        |       | ▲     | ▲        | §136(d)(1) and §185(d)(1)(B)  |
| 308          | Displaced Homemaker (Statewide (15%) Activities)  | !                         |    | !             | !                          | !                         | !                         | !                                  | ▲                       | ▲      |                   |        |       |       | ▲        | §136(d)(1) and §185(d)(1)(B)  |
| 309          | Incumbent Worker (Statewide (15%) Activities)     | !                         |    | !             | !                          | !                         | !                         | !                                  |                         |        | ▲                 | ▲      |       |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 310          | Other (Statewide (15%) Activities)                | !                         |    | !             | !                          | !                         | !                         | !                                  |                         |        | ▲                 | ▲      |       |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 311          | Rapid Response                                    | !                         |    | !             |                            | !                         | !                         | !                                  |                         |        | ▲                 | ▲      |       |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 312          | Additional Rapid Response                         | !                         |    | !             |                            | !                         | !                         | !                                  |                         |        | ▲                 | ▲      |       |       |          |   |

| Data Element |   | Purpose                   |    |               |                            |                           |                           | Required Items by Group            |       |        |                   |        |       | Citation |   |
|--------------|---|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------|--------|-------------------|--------|-------|----------|---|
|              |   | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult |        | Dislocated Worker |        | Youth |          |   |
|              |   |                           |    |               |                            |                           |                           |                                    | C     | I<br>T | C                 | I<br>T | 14-18 |          | 19-21   |
| 313a         | National Emergency Grant (first grant #)  | !                         |    | !             | !                          |                           | !                         | !                                  |       |        | ▲                 | ▲      |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 313b         | National Emergency Grant (second grant #)   | !                         |    | !             | !                          |                           | !                         | !                                  |       |        | ▲                 | ▲      |       |          | §136(d)(1) and §185(d)(1)(B)  |
| 313c         | National Emergency Grant (third grant #)  | !                         |    | !             | !                          |                           | !                         | !                                  |       |        | ▲                 | ▲      |       |          | §136(d)(1) and §185(d)(1)(B)  |
|              | WIA Title I B Partner Program Participation   |                           |    |               |                            |                           |                           |                                    |       |        |                   |        |       |          |   |
| 314          | Adult Education   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          | If these optional items are used, the information may be used to extend the exit date and/or to include outcomes obtained by partner programs |
| 315          | Job Crops   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 316          | Migrant and Seasonal Farmworker Programs  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 317          | Native American Programs  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 318          | Veterans' Programs  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 319          | Trade Adjustment Act (TAA)  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 320          | NAFTA-TAA   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 321          | Vocational Education  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 322          | Vocational Rehabilitation   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 323          | Wagner-Peyser   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 324          | Welfare-to-Work Participant   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 325          | Employment and Training programs carried out under the Community Services Block Grant Act     | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 326          | Employment and Training programs carried out under the Dept. of Housing and Urban Development | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 327          | Title V activities  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 328          | Food Stamps Employment and Training   | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |
| 329          | Other non-WIA programs  | !                         |    |               |                            |                           | !                         |                                    |       |        |                   |        |       |          |   |

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**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element |   | Purpose                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation   |
|--------------|---|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|--|
|              |   | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |  |
|              |   |                           |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |  |
| 330          | Supportive services (except needs-related payments) received  | !                         |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | Needed for general oversight. May be used in preparing cost of activities information (section136(d)(2)(C) and section 185(d)(1)(B)).                                    |
| 331          | Needs-related payments (Adults/Dislocated Workers in training services) or Stipends (Youth in training) | !                         |    | !             |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      | ▲     | ▲     |  |
| 332          | Date of first intensive service   | !                         |    | !             |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | §136(d)(1) and §185(d)(1)(B)   |
| 333          | Date of first training service  | !                         |    | !             | !                          |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | §136(d)(1) and §185(d)(1)(B)   |
| 334          | Established Individualized Training Account   |                           |    |               |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | High level of interest by Congress, et. al. Needed for general oversight. Information may be used in discussion of cost of activities in annual report. (§136(d)(2)(C)). |
| 335          | Adult education, basic skills and/or literacy activities  | !                         |    | !             | !                          |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | §136(d)(1) and §185(d)(1)(B)   |
| 336          | On-the-job training   | !                         |    | !             | !                          |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | §136(d)(1) and §185(d)(1)(B)   |
| 337          | Occupational skills training or skills upgrading/retraining, and/or workplace training                  | !                         |    | !             | !                          |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | §136(d)(1) and §185(d)(1)(B)   |
|              | Items for Adults, Dislocated Workers, and Youth   |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |  |
| 338          | Occupational skills training code   | !                         |    | !             |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       | ▲     | §185(d)(1)(C)  |
| 339          | Occupational skills training code type  | !                         |    | !             |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       | ▲     | §185(d)(1)(C)  |
|              | YOUTH SERVICES  |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |  |
| 340          | Educational achievement services  | !                         |    | !             |                            |                           | !                         |                                    |                         |        |                   |        | ▲     | ▲     | §185(d)(1)(B)  |
| 341          | Employment services   | !                         |    | !             |                            |                           | !                         |                                    |                         |        |                   |        | ▲     | ▲     | §185(d)(1)(B)  |

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| Data Element |  | Purpose                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation |   |
|--------------|--|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|----------|---|
|              |  | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |          |   |
|              |  |                           |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |          |   |
| 342          | Received Summer Youth Employment Opportunities   | !                         |    | !             |                            |                           | !                         |                                    |                         |        |                   |        |       | ▲     | ▲        | §185(d)(1)(B)   |
| 343          | Additional support for youth services  | !                         |    | !             |                            |                           | !                         |                                    |                         |        |                   |        |       | ▲     | ▲        | §185(d)(1)(B)   |
| 344          | Leadership development opportunities   | !                         |    | !             |                            |                           | !                         |                                    |                         |        |                   |        |       | ▲     | ▲        | §185(d)(1)(B)   |
| 345          | Received follow-up services  | !                         |    |               |                            |                           | !                         |                                    |                         |        |                   |        |       | ▲     | ▲        | §185(d)(1)(B)   |
|              | SECTION IIIA - PROGRAM OUTCOMES FOR ADULTS (18 AND OVER), DISLOCATED WORKERS AND OLDER YOUTH (19-21) |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |          |   |
| 601          | Employed in quarter after exit quarter   | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §136(d)(2)(A) and §185(d)(1) (C)<br>Entered Employment, Earnings Change, Earnings Replacement and Retention |
| 602          | Source of supplemental data  |                           |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §136(d)(2)(A) and §185(d)(1) (C)<br>Entered Employment and Earnings Change                                  |
|              | EMPLOYMENT INFORMATION   |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |          |   |
| 603          | Occupational code (if available)   | !                         |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §136(d)(2) and §185(d)(1)(C)  |
| 604          | Occupational code type   | !                         |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §136(d)(2) and §185(d)(1)(C)  |
| 605          | Entered training-related employment  |                           |    | !             |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | ▲        | §136(d)(2)(A)   |
| 606          | Method used to determine training-related employment   |                           |    |               |                            |                           | !                         |                                    |                         | ▲      |                   | ▲      |       |       | ▲        | §136(d)(2)(A)   |
| 607          | Entered non-traditional employment   |                           |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §185(d)(2)(C)   |
| 608          | Employed in third quarter after exit quarter   | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       |       | ▲        | §136(d)(1) and §185(d)(1)(C) - Retention  |

**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element |  | Purpose                   |    |               |                            |                           |                           | Required Items by Group            |       |        |                   |        |           | Citation |   |
|--------------|--|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------|--------|-------------------|--------|-----------|----------|---|
|              |  | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult |        | Dislocated Worker |        | Youth     |          |   |
|              |  |                           |    |               |                            |                           |                           |                                    | C     | I<br>T | C                 | I<br>T | 14-<br>18 |          | 19-<br>21   |
| 609          | Source of supplemental data                  |                           |    | !             | !                          |                           | !                         |                                    | ▲     | ▲      | ▲                 | ▲      |           | ▲        | §136(d)(2)(A) and §185(d)(1)(C)<br>Retention and Earnings Change        |
| 610          | Employed in fifth quarter after exit quarter | !                         |    | !             |                            |                           | !                         |                                    | ▲     | ▲      | ▲                 | ▲      |           | ▲        | §136(d)(2)(D) and §185(d)(1)(C)<br>12 Mo. Retention and 12 Mo. Earnings |
| 611          | Source of supplemental data                  |                           |    | !             |                            |                           | !                         |                                    | ▲     | ▲      | ▲                 | ▲      |           | ▲        | Change  |



**Attachment A**  
**Justification for WIA Standardized Record (WIASRD) Items**

| Data Element |  |   | Purpose                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation   |
|--------------|--|---|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|--|
|              |  |   | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |  |
|              |  |   |                           |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |  |
| 612          | Total earnings from wage records for the:  | Third quarter prior to registration       | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) Earnings Change   |
| 613          |  | Third quarter prior to dislocation        | !                         |    | !             | !                          |                           | !                         |                                    |                         |        | ▲                 | ▲      |       |       | §136(f)(2) Earnings Replacement  |
| 614          |  | Second quarter prior to registration      | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) Earnings Change   |
| 615          |  | Second quarter prior to dislocation       | !                         |    | !             | !                          |                           | !                         |                                    |                         |        | ▲                 | ▲      |       |       | §136(f)(2) Earnings Replacement  |
| 616          |  | First quarter following the exit quarter  | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) Entered Employment  |
| 617          |  | Second quarter following the exit quarter | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) Earnings Change/<br>Replacement   |
| 18           |  | Third quarter following the exit quarter  | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) Retention and Earnings<br>Change/ Replacement   |
| 619          |  | Fourth quarter following the exit quarter | !                         |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) 12 Mo. Earnings   |
| 620          |  | Fifth quarter following the exit quarter  | !                         |    | !             |                            |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(f)(2) 12 Mo. Earnings and 12 Mo.<br>Retention   |
| 621          | Type of recognized educational/occupational certificate/credential/diploma/degree attained |   | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      |       | ▲     | §136(d)(1) and §185(d)(1)(C) Credential  |
| 622          | Other reasons for exit   |   | !                         |    | !             | !                          |                           | !                         |                                    | ▲                       | ▲      | ▲                 | ▲      | ▲     | ▲     | §136(d)(1) and §185(d)(1)(C)   |
| 623          | In postsecondary education or advanced training in quarter after exit                      |   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        |       | ▲     | §136(d)(1) and §185(d)(1)(C) Older Youth Credential, Older Youth Entered Employment, and Older Youth Earnings Change |
| 624          | In postsecondary education or advanced training in third quarter after exit                |   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        |       | ▲     | §136(d)(1) and §185(d)(1)(C) Older Youth Retention and Earnings change   |

| Data Element |  | Purpose                   |    |               |                            |                           |                           |                                    | Required Items by Group |        |                   |        |       |       | Citation  |
|--------------|--|---------------------------|----|---------------|----------------------------|---------------------------|---------------------------|------------------------------------|-------------------------|--------|-------------------|--------|-------|-------|---|
|              |  | Maint. of Standard Record | EO | Annual Report | Core Indicator of Perform. | Eligibility Determination | General Oversight & Eval. | Additional Data for Setting Levels | Adult                   |        | Dislocated Worker |        | Youth |       |   |
|              |  |                           |    |               |                            |                           |                           |                                    | C                       | I<br>T | C                 | I<br>T | 14-18 | 19-21 |   |
|              | SECTION IIIB - OUTCOMES FOR YOUNGER YOUTH (Aged 14-18 at registration) |                           |    |               |                            |                           |                           |                                    |                         |        |                   |        |       |       |   |
| 625          | Goal #1 type   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       | §136(d)(1) and §185(d)(1)(C)<br><br>Youth Goal Attainment |
| 626          | Date goal #1 was set   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 627          | Attainment of goal #1  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 628          | Date attained goal #1  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 629          | Goal #2 type   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 630          | Date goal #2 was set   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 631          | Attainment of goal #2  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 632          | Date attained goal #2  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 633          | Goal #3 type   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 634          | Date goal #3 was set   | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 635          | Attainment of goal #3  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 636          | Date attained goal #3  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 637-672      | Information on additional youth goals                                  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 673          | Attained Secondary School Diploma                                      | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       | §136(d)(1) and §185(d)(1)(C) Youth Diploma                |
| 674          | Date of high school diploma or GED attainment                          | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       |   |
| 675          | Youth placement information  | !                         |    |               |                            |                           | !                         |                                    |                         |        |                   |        | ▲     |       | §136(b)(2)(A)(I)  |
| 676          | Youth retention information  | !                         |    | !             | !                          |                           | !                         |                                    |                         |        |                   |        | ▲     |       | §136(d)(1) and §185(d)(1)(C) Youth Retention              |

## Attachment B

### Sampling Guidelines for the Individual Record (WIASRD)

States may send DOL samples of records instead of all records. Samples must adhere to the following guidelines:

- The universe (or sampling frame) from which the samples are to be drawn consists of all exiters in the last three complete program years. Submissions should not include individuals who terminated from JTPA. Thus, for most States, the submission due December 1, 2001 will include only Program Year (PY) 2000 exiters. For early implementation States, it will include only PY 2000 and PY 1999 exiters.
- Samples are to be selected randomly using generally accepted statistical sampling methods.
- The minimum sampling rate is the *larger* of:
  - 33%.
  - The rate needed to achieve a sample of 2,500 in the funding stream (adult, dislocated worker and youth) with the *smallest* number of exiters during the program year. This sampling rate equals 2,500 divided by the number of exiters from that funding stream during the program year.
- The same sampling rate must be used to select the entire sample for each program year (i.e., the sampling rate must be applied to all funding streams).
- If any funding stream has fewer than 2,500 exiters in a program year, sampling is not allowed.
- A different sampling rate may be used for each program year included in the sample. However, States having the option of applying the largest of the minimum sampling rates calculated for the three program years in the submission to all three program years.
- The samples for each of the two earliest program years in a submission may be either a new sample selected for the submission or the same sample selected for the submission made the previous year.

NOTE: Although States may submit samples of records, the data items included in the record must be collected and maintained for all individuals.

For many States, the effort involved in programming the selection of the sample will outweigh the benefits of sampling. Therefore, States are encouraged to consider whether they will achieve a net benefit from sampling before deciding to sample. States are not required to sample and may decide to routinely submit all records to DOL.

The following worksheet may be used to determine the required sampling rate for each program year included in the submission:

|                    | A<br>Number of<br>Exiters During<br>Program Year | B<br>Smallest Value in<br>Column A | C<br>2,500<br>divided by<br>Column B | D<br>Minimum<br>Sampling Rate<br>(Largest Value in<br>Column C) |
|--------------------|--|------------------------------------|--------------------------------------|---|
| Overall minimum    |  |                                    | 33%                                  |   |
| Adults             |  |                                    |                                      |   |
| Dislocated Workers |  |                                    |                                      |   |
| Youth              |  |                                    |                                      |   |

A sample of a completed worksheet follows for a State with 8,000 adult exiters, 7,000 dislocated worker exiters, and 4000 youth in a program year.

|                    | A<br>Number of<br>Exiters During<br>Program Year | B<br>Smallest Value in<br>Column A | C<br>2,500<br>divided by<br>Column B | D<br>Minimum<br>Sampling Rate<br>(Largest Value in<br>Column C) |
|--------------------|--|------------------------------------|--------------------------------------|---|
| Overall minimum    |  |                                    | 33%                                  | 63%   |
| Adults             | 8,000  | 4,000                              | 63%                                  |   |
| Dislocated Workers | 7,000  |                                    |                                      |   |
| Youth              | 4,000  |                                    |                                      |   |

For this State and program year, the funding stream with the fewest number of exiters is youth, with 4,000 exiters. Thus, 4000 is entered in Column B. The value entered in Column C is 2,500 divided by 4,000, which is 63%. Because this value is greater than 33%, the minimum sampling rate is 63% for all funding streams. This value of 63% is entered in Column D.

## Attachment C

### Use of Wage Records and Supplemental Data Sources

(This information is based on TEGL 7-99, the Core and Customer Satisfaction Measures document but also contains some refinements to the original document.)

#### *Unemployment Insurance Wage Records*

To the extent it is consistent with State law, the Unemployment Insurance (UI) wage records will be the primary data source for tracking entered employment, employment retention, earnings change/replacement, the employment portion of the credential rate for adults, dislocated workers, and older youth and the employment portion of the younger youth retention rate. In addition to UI wage records within a State, the Wage Record Interchange System (in the pilot stages at this time) and other State Employment Security Offices (to track UI wage records across States) are considered acceptable wage record sources. If individuals are not found in the UI wage record sources, States may use supplemental data sources for the entered employment, retention, credential and younger youth retention measures. However, the only data source that can be used for the earnings change/replacement measures is the UI wage records.

#### *Supplemental Data Sources*

While the majority of employment in a State's workforce is "covered" and will be in the UI wage records, certain types of employers and employees are excluded by Federal unemployment law standards or are not covered under a State's UI law. "Uncovered" employment typically includes Federal employment, postal service, military, railroad, out-of-state employment, self employment, some agricultural employment, and some employment where earnings are primarily based on commission. States have flexibility in methods used to obtain information on participants in "uncovered" employment. Examples include:

- 1) Case management, follow-up services, and surveys of participant to determine that the participant is employed and written documentation of that employment; or
- 2) Record sharing and/or automated record matching with other employment and administrative databases to determine and document employment consistent with applicable privacy laws. These databases may include:
  - Office of Personnel Management (Federal Career Service);
  - United States Postal Service;
  - Railroad Retirement System;
  - U.S. Department of Defense;
  - State Department of Revenue or Tax (State income tax for self-reported occupations); and
  - Government Employment Records (State government, local government, judicial employment, public school employment, etc.);

Most States will likely utilize case management, follow-up services, and surveys of participants to capture supplemental data. Some States already have record sharing and/or automated matching systems in place that they will be able to use to track "uncovered" employment. For States that do not have these systems in place, developing these relationships with State and Local agencies is encouraged. However, record sharing of Federal databases can best be coordinated on a national level rather than having each individual State contact these agencies. It is also possible for States to establish record sharing/matching agreements with agencies such as the State Corrections Department to determine whether individuals are incarcerated and should be excluded from the measures. Even though record sharing is an efficient and reliable data source, many of these agencies may only provide data annually so that it would not be available for quarterly reporting.

Computer records from automated UI wage record matching are considered valid written records and may be used in calculating performance on the earnings measures. Also, please note that supplemental data must be recorded within 30 days after the individual was found missing in the wage record.

## **Attachment D Customer Satisfaction**

(This information is refined from TEGL 6-00 regarding  
the Customer Satisfaction Performance Measures)

### **Customer Satisfaction Measures**

A. Overview of Measurement Approach. To meet the customer satisfaction measurement requirements of WIA, the Department will use customer satisfaction surveys. The survey approach that will be utilized allows State and local flexibility and, at the same time, captures common customer satisfaction information that can be aggregated and compared at a State and national level. This will be done through the use of a small set of required questions that will form a customer satisfaction index. The Department will use the American Customer Satisfaction Index (ACSI), which is created by combining scores from three specific questions that address different dimensions of customers' experience. For WIA application, there will be one score for each of the two customer groups: participants and employers.

The ACSI is the most widely used index currently in practice. It is used extensively in the business community, including at over 150 Fortune 500 companies, and in many European countries. Twenty-nine agencies of the Federal government have used the ACSI. In addition, it has been used twice in the past four years to assess customer satisfaction for ETA's Quality Initiative, the Enterprise. The ACSI will allow the workforce investment system to not only look at performance within the system, but also be able to gain perspective on the workforce system's performance by benchmarking against organizations and industries outside of the system. The ACSI also has a history of being useful in tracking change in customer satisfaction over time, making it an ideal way to gauge States' progress "toward continuously improving in performance."

Since the ACSI trademark is proprietary property of the University of Michigan and the Claes Fornell International Group (CFI), the Department has established a license agreement with the University of Michigan that will allow States the use of the ACSI for a Statewide sample of participants and employers.

It is worthwhile to note that States may use the ACSI questions and approach to measure satisfaction at the Local Board level if individual license agreements are purchased from CFI by the State and the ACSI questions and measurement approach are uniformly administered throughout the State. States using the ACSI methodology to measure Local Board performance are not required to conduct separate statewide customer satisfaction surveys to obtain State level results as long as:

- the surveys are administered by telephone,
- respondents are contacted within the window of opportunity outlined for participants and employers, at least 500 surveys are completed statewide for each group -- participants and employers,
- the surveys comply with the methodology spelled out in this guidance, and
- the Local Board results can be weighted to account for sampling differences, if appropriate, and aggregated to obtain state level outcomes.

Please refer to TEGL 6-00 for information on purchasing licenses to use the ACSI methodology to measure satisfaction at the local level. States following this guidance may aggregate local outcomes to obtain State level outcomes on the customer satisfaction measures. These aggregated results will be reported on the quarterly and annual reports.

### **B. Customer Satisfaction Measures**

## **Measure 16: Participant Satisfaction**

The weighted average of participant ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

### **1. Who Will Be Surveyed?**

WIA Title I-B participants who are exiters as defined in the core measures, who are either Adults, Dislocated Workers, Older Youth (ages 19-21), or Younger Youth (ages 14-18) will be surveyed. All individuals from all funding streams in an exit cohort are eligible to be chosen for inclusion in the random sample.

### **2. How Many (number obtained)?**

Except in small States, a sample will be taken from these exiter groups in each quarter. At least 500 completed interviews are required for the participant survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed participant survey is defined as a survey in which all three questions about overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than  $\pm 5$  points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

### **3. How (methodology)?**

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone surveys includes: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by participants, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain participant customer satisfaction information must satisfy the following criteria:

- A. Participant customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. Participants should be contacted as soon as possible after the date of exit and no later than 60 days after the date of an exit or 60 days after the 90 days have elapsed since the last service



date.

- C. States must complete a minimum of 500 participant surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample participants to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for participant surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all exiters in the samples to avoid introducing bias.
- G. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals eligible for the surveys. With this in mind, no individual in the participant group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible participants be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of participants who received services that are the subject of the surveys. Participant samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.

- M. Local program staff must inform the customer during the registration process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their home phone numbers changed.

#### **4. When to Conduct Surveys?**

The surveys should be conducted on a rolling basis within the time frame for participants indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Participants should be contacted within 60 days of the exit date or the date that an exit date has been determined. This means either 60 days after the date of an exit interview or 60 days after the 90 days have elapsed since the last service date.

#### **5. What are the Core Questions?**

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning of the interview<sup>2</sup>. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

##### *[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of participant).

---

<sup>2</sup> Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

Are you the Ms./Mr. (name of participant) who received a (name of service(s)) from the \_\_\_\_\_ on (date or date range)? [If the respondent confirms participation, proceed with the interview. If no, end the interview and thank the respondent for his or her time.]

I would like to ask you some questions about your recent experience with the services provided to you. Our purpose is to learn from you how to improve programs and services offered to people. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to individuals. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [If no, continue. If yes, probe to understand the questions, provide answers and restate the importance of the respondent's participation in the interview.]

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

- Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the services provided from \_\_\_\_\_?

|                      |   |   |   |   |   |   |   |   |                   |                 |                  |
|----------------------|---|---|---|---|---|---|---|---|-------------------|-----------------|------------------|
| Very<br>Dissatisfied |   |   |   |   |   |   |   |   | Very<br>Satisfied | DK <sup>3</sup> | REF <sup>4</sup> |
| 1                    | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10                | 11              | 12               |

- Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? "1" now means "Falls Short of Your Expectations" and "10" means "Exceeds Your Expectations."

|                                |   |   |   |   |   |   |   |   |                         |       |    |
|--------------------------------|---|---|---|---|---|---|---|---|-------------------------|-------|----|
| Falls Short of<br>Expectations |   |   |   |   |   |   |   |   | Exceeds<br>Expectations | DKREF |    |
| 1                              | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10                      | 11    | 12 |

- Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? "1" now means "Not very close to the Ideal" and "10" means "Very Close to the Ideal."

---

<sup>3</sup> DK = Don't Know

<sup>4</sup> REF = Refused to Answer

| Not Close<br>To Ideal |   |   |   |   |   |   |   | Very Close<br>To Ideal |    | DK | REF |
|-----------------------|---|---|---|---|---|---|---|------------------------|----|----|-----|
| 1                     | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9                      | 10 | 11 | 12  |

### Measure 17: Customer Satisfaction

The weighted average of employer ratings on each of the three questions regarding overall satisfaction are reported on a 0-100 point scale. The score is a weighted average, not a percentage.

#### 1. Who Will Be Surveyed?

Those eligible for surveying include employers who have received a substantial service where the service has been completed or, if it is an ongoing service, when a full segment of service has been provided (e.g., after listing an open job order, the employer has received some referrals or if no service, 30 days have elapsed after the initial request). All employers who have received a substantial service involving personal contact with One-Stop staff are eligible to be chosen for inclusion in the random sample (this excludes those employers who request a brochure or standard mailing, those who ask a question that is answered with little expenditure of staff time, or those who use electronic self-services).<sup>5</sup> Examples of substantial services include staff facilitated job orders, customized job training, customized labor market information requests, and on-the-job training activities.

When an employer has received multiple services, priority should be given to the service that required the greatest expenditure of funds or staff time<sup>6</sup> and the survey conducted regarding their satisfaction with that service.

#### 2. How Many (number obtained)?

Except in small States, a sample will be taken from these employers. At least 500 completed interviews are required for the employer survey for calculation of the indicator. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews. The sampling percentage should be constant over time to avoid under-representing or over-representing time intervals. A completed employer survey is defined as a survey in which all three questions regarding overall satisfaction have been answered. The standard of 500 from a sample of the whole population of customers provides accuracy such that there is only a 5 in 100 chance that the results would vary by more than  $\pm 5$  points from the score obtained from surveying the whole population.

For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes. Response levels below 50% during the first year will invalidate the results for performance measurement purposes as significant bias in the results is likely. For the following years of data collection, States are expected to achieve a 70% response rate.

#### 3. How (methodology)?

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<sup>5</sup> This standard is similar to the participant standard that distinguishes core services (information/self-service) from those services that warrant registration.

<sup>6</sup> Where an employer has received multiple services in a given time period, and there is separate contact information for each service, the contact information for the priority service should be used for surveying.

The responses are obtained using a uniform telephone methodology. The rationale for only using telephone surveys include: the comparability of the indicator for assessing performance levels is most reliably obtained with a telephone survey; telephone surveys are easily and reliably administered; and defining procedures for mailed surveys is more difficult than defining procedures for telephone surveys. Estimates of the cost of telephone surveys nationwide run an average of \$15 per completed survey. Since it is being proposed that States complete 500 participant and 500 employer surveys, the cost would be an estimated total of about \$15,000 per State per year.

As with other data collected on the receipt of services by employers, the responses to the customer satisfaction surveys must be held confidential as required by applicable State law. Before promising respondents confidentiality of results, States must ensure that they have legal authority for that promise. Such authority can be found in State privacy laws, for example.

To ensure ACSI results for individuals are collected in a consistent and uniform manner, procedures used by States to obtain employer customer satisfaction information must satisfy the following criteria:

- A. Employer customer satisfaction responses must be collected by way of telephone interviews. In-person interviews and mail questionnaires may be used only in situations where the individual does not have a telephone.
- B. Employer customers should be contacted as soon as possible after the completion of the service and no later than 60 days after the completion of the service. For employers who listed a job order where no referrals were made, contact should occur 30 to 60 days after the job order was listed.
- C. States must complete a minimum of 500 employer surveys during the program year to accurately assess performance on the ACSI.
- D. States must randomly sample employers to obtain the desired number of completed surveys. States are required to determine the appropriate sample sizes and sampling percentages using the required response rate and the required number of completed interviews.
- E. With the exception of the first year of data collection, the response rates for employer surveys must be a minimum of 70 percent. For the first year of data collection only, there is a minimum response rate of 50% for determining the usefulness of the data for performance measurement purposes.

The response rate is calculated as the number of respondents with *complete* customer satisfaction information divided by the total number in the sampling frame. A survey is considered *complete* where valid answers are provided by respondents for each of the core questions outlined by DOL.

- F. Attempts must be made to contact all eligible employers in the samples to avoid introducing bias.
- G. The sampling methodology used to select potential respondents for the surveys must ensure the consistent random selection of a sample of individuals or employers eligible for the surveys. With this in mind, no individual in the employer group eligible for the survey may be arbitrarily excluded from a sample.

It is very important that all records for eligible employers be entered in a timely fashion into the databases. The information in these databases will be used to develop lists of employers who received services that are the subject of the surveys. Employer samples must be drawn on at least a monthly basis. Also, procedures used to draw a sample must conform to accepted statistical practices, such as using a table of random numbers.

- H. Every precaution must be taken to prevent a response bias.
- I. The *core question(s)* and survey approach used by States to collect customer satisfaction information must be uniformly applied throughout the State.
- J. States must use the minimum core customer satisfaction questions specified by the Department in collecting and reporting satisfaction outcomes. These mandatory items should be located at the beginning of the questionnaire. States may include other questions about the service experience.
- K. Respondents must be told that responding to the survey is voluntary and that the information they provide will be kept confidential. However, States must not make any assurances regarding confidentiality without ensuring that they have the legal authority to make such assurances.
- L. States must create a process for creating an up-to-date customer list, capturing information on each customer's address and telephone number.
- M. Local program staff must inform the customer during the service application process about the importance of satisfying customers and the possibility of being contacted for information on his or her experience with the services. Customers must be told the survey is voluntary and that responses are considered confidential.
- N. The interview should be limited to 15 minutes or less. Shorter questionnaires produce better response rates when compared to longer questionnaires.
- O. A minimum of five follow-up attempts is required, involving various times of the day before closing the record.
- P. Local programs should collect alternate contact information from a person known by the customer who would know the whereabouts of the customer in the event the customer cannot be reached at the address and telephone number recorded for the customer.
- Q. A letter in advance of the survey should be sent out informing the customer that he or she can expect to receive a telephone call about his or her satisfaction with the services. States should place a phone number on the letter, suggesting that customers call if they need help or call if their phone numbers changed.

#### **4. When to Conduct Surveys?**

The surveys should be conducted on a rolling basis within the time frame indicated below. To obtain sufficient numbers, smaller States will need to survey on an ongoing basis. Employers should be contacted within 60 days of the completion of the service or 30-60 days after a job order has been listed where no referrals have been made.

#### **5. What are the Questions?**

The following introductory statement and core ACSI questions are to be read to the respondent at the beginning

of the interview<sup>7</sup>. The introductory script sets the context for the interview by focusing the interview on the service experience, date(s) of service, and the firm(s) or organization(s) delivering the service(s). In addition to contact information, the survey administrators will need to know the service(s) provided to each customer, the date(s) of service, and the firm(s) providing the service(s) in order to complete the interviews. The service(s) should be worded in terms recognizable to the customer.

*[Introductory Script]*

My name is (interviewer) with (firm or agency) and I am conducting a survey for the (program name). I would like to speak to Ms./Mr. (name of employer contact).

Are you the Ms./Mr. (name of contact) who received a (name of service(s)) from the \_\_\_\_\_ on (date or date range)? [IF THE RESPONDENT CONFIRMS PARTICIPATION, PROCEED WITH THE INTERVIEW. IF NO, END THE INTERVIEW AND THANK THE RESPONDENT FOR HIS OR HER TIME.]

I would like to ask you some questions about your recent experience with the services provided to your business. Our purpose is to learn from you how to improve programs and services offered to area businesses. The survey was approved by the Office of Management and Budget to collect information on your experience with services we provide to employers. The questionnaire is voluntary and should take no longer than 15 minutes to complete.

Please know the answers you provide to my questions will be kept confidential. Do you have any questions for me before we start the interview? [IF NO, CONTINUE. IF YES, PROBE TO UNDERSTAND THE QUESTIONS, PROVIDE ANSWERS AND RESTATE THE IMPORTANCE OF THE RESPONDENT'S PARTICIPATION IN THE INTERVIEW.]

*[The Questions]*

First, I want you to rate your overall experience with the services. I will read to you three statements and ask you to rate your experience.

1. Utilizing a scale of 1 to 10 where "1" means "Very Dissatisfied" and "10" means "Very Satisfied" what is your overall satisfaction with the services provided from \_\_\_\_\_?

|                      |   |   |   |   |   |   |   |   |                   |                 |                  |
|----------------------|---|---|---|---|---|---|---|---|-------------------|-----------------|------------------|
| Very<br>Dissatisfied |   |   |   |   |   |   |   |   | Very<br>Satisfied | DK <sup>8</sup> | REF <sup>9</sup> |
| 1                    | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10                | 11              | 12               |

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<sup>7</sup> Note: The first question can be modified to suit the individual needs of the State and the names for program services recognizable for their population. The lead-in question provided is a model to be used as guidance.

<sup>8</sup> DK = Don't Know

<sup>9</sup> REF = Refused to Answer

2. Considering all of the expectations you may have had about the services, to what extent have the services met your expectations? “1” now means “Falls Short of Your Expectations” and “10” means “Exceeds Your Expectations.”

| Falls Short of Expectations |   |   |   |   |   |   |   | Exceeds Expectations |    | DKREF |    |
|-----------------------------|---|---|---|---|---|---|---|----------------------|----|-------|----|
| 1                           | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9                    | 10 | 11    | 12 |

3. Now think of the ideal program for people in your circumstances. How well do you think the services you received compare with the ideal set of services? “1” now means “Not very close to the Ideal” and “10” means “Very Close to the Ideal.”

| Not Close To Ideal |   |   |   |   |   |   |   | Very Close To Ideal |    | DK | REF |
|--------------------|---|---|---|---|---|---|---|---------------------|----|----|-----|
| 1                  | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9                   | 10 | 11 | 12  |

### C. Definition of Terms

*Sample.* A group of cases selected from a population by a random process where everyone has an equal probability of being selected.

*Response rate.* The percentage of people in the sampling frame who are contacted and respond to the core questions on the survey.

### D. The Calculation

The ACSI scores reported for a State represent the weighted sum of the three ACSI questions’ values which are transformed into 0 to 100 scale value. The weights are applied to each of the three questions to account for differences in the characteristics of the State’s customer groups.

For example, assume the mean values of three ACSI questions for a state are:

- |                         |       |
|-------------------------|-------|
| 1. Overall Satisfaction | = 8.3 |
| 2. Met Expectations     | = 7.9 |
| 3. Compared to Ideal    | = 7.0 |

Then, these mean values from raw data must first be transformed to the value on a 0 to 100 scale. This is done by subtracting 1 from these mean values, dividing the results by 9 which is the value of range of a 1 to 10 raw data scale, and multiplying the whole by 100:

- |                         |                                   |
|-------------------------|-----------------------------------|
| 1. Overall Satisfaction | = $(8.3 - 1)/9 \times 100 = 81.1$ |
| 2. Met Expectations     | = $(7.9 - 1)/9 \times 100 = 76.7$ |
| 3. Compared to Ideal    | = $(7.0 - 1)/9 \times 100 = 66.7$ |

The ACSI score is calculated as the weighted averages of these values. Assuming the weights for the example state are 0.3804, 0.3247 and 0.2949 for questions 1, 2 and 3, respectively, the ACSI score for the state would be calculated as follows:



$$(0.3804 \times 81.1) + (0.3247 \times 76.7) + (0.2949 \times 66.7) = \mathbf{75.4}$$

Weights were calculated by a statistical algorithm to minimize measurement error or random survey noise that exists in all survey data. State-specific weights were calculated using the relative distribution of ACSI respondent data for non-regulatory Federal agencies previously collected and analyzed by CFI and the University of Michigan.

Specific weighting factors have been developed for each State for PY 2000. New weighting factors will be published annually.